

# EIC 2800 SEARCH REPORT

**STIC Database Tracking Number: 370817**

**To: Y LEE  
Location: JEF-7A11  
Art Unit: 2885  
Monday, August 08, 2011  
  
Case Serial Number: 10801177**

**From: DIANE JACKSON  
Location: EIC2800  
JEF-4B68  
Phone: (571)272-3260  
  
diane.jackson@uspto.gov**

## **Search Notes**

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and CourtLink and Q-Pat/Orbit.**

**No Litigation was found for Serial Number 10/801177 –  
Patent Number 6357893.**

**If you have any questions, please feel free to contact  
me.**

**Thanks,**

**Diane**

Jackson, Diane

AUG 8 2011

Page 1 of 1

3 76817

**From:** Lee, Y Quach  
**Sent:** Monday, August 08, 2011 10:09 AM  
**To:** Jackson, Diane  
**Subject:** RE: Confirmation Receipt: 2800 Search Request - 10/801,177

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**Requester** -----

Name: LEE, Y MY QUACH  
Organization: **TC 2800**  
Art Unit: **2885**  
Employee Number: **69413**  
Office Location: **JEF-7A11**  
Phone Number: **(571)272-2373**  
Email: y.quach@uspto.gov

**Request Detail** -----

Attachment: No

Case/Application number: **10/801,177** PALM  
Priority App. Filing Date:  
Format for Search Results: **EMAIL**  
Board of Appeals Case?: No

Describe this invention in your own words.:  
**Litigation Search**

6, 357, 893

## Application Number Information

Application Number: 10/801177 [Assignments](#)Filing or 371(c) Date: 03/15/2004 [eDan](#)

Effective Date: 03/15/2004

Application Received: 03/16/2004

Patent Number:

Issue Date: 00/00/0000

Date of Abandonment: 00/00/0000

Attorney Docket Number:

Status: 71 /RESPONSE TO NON-FINAL OFFICE ACTION ENTERED AND FORWARDED TO EXAMINER Status Date: 06/17/2011

Confirmation Number: 1469

Oral Hearing: YES

Title of Invention: LIGHTING DEVICES USING A PLURALITY OF LIGHT SOURCES

Examiner Number: 69413 / [LEE, Y](#)

Group Art Unit: 2885

[IFW Madras](#)

Class/Subclass: 362/285.000

Lost Case: NO

[Appeal Number:](#) 2010007121

Unmatched Petition: NO

[L&R Code:](#) Secrecy Code:1

Third Level Review: NO

Secrecy Order: NO

Bar Code	PALM Location	Location Date	Charge to Loc	Charge to Name	Employee Name	Location
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Appln  
Info

<a href="#">Contents</a>	<a href="#">Petition Info</a>	<a href="#">Atty/Agent Info</a>	<a href="#">Continuity/Reexam</a>	<a href="#">Foreign Data</a>	<a href="#">Inventors</a>	<a href="#">Address</a>	<a href="#">Fees</a>	<a href="#">Post Info</a>	<a href="#">Pre Gi</a>
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## Continuity/Reexam Information for 10/801177

**Parent Data**

10801177, filed 03/15/2004 and having 1 RCE-type filing therein  
is a reissue of 09526499, filed 03/15/2000 ,now U.S. Patent #6357893

**Child Data**

Appln Info	Contents	Petition Info	Atty/Agent Info	Continuity/Reexam	Foreign Data	Inventors	Address	Fees	Post Info	Pre
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## Application Number Information

Application Number: 09/526499 [Assignments](#)Filing or 371(c) Date: 03/15/2000 [eDan](#)

Effective Date: 03/15/2000

Application Received: 03/16/2000

Patent Number: [6357893](#)

Issue Date: 03/19/2002

Date of Abandonment: 00/00/0000

Attorney Docket Number:

Status: 150 /PATENTED CASE

Confirmation Number: 9178

Title of Invention: LIGHTING DEVICES USING A PLURALITY OF LIGHT SOURCES

Examiner Number: 69413 / [LEE, Y](#)

Group Art Unit: 2875

Class/Subclass: 362/285.000

Lost Case: NO

Interference Number:

Unmatched Petition: NO

[L&R Code](#): Secrecy Code: 1

Third Level Review: NO

Secrecy Order: NO

Status Date: 03/01/2002

Oral Hearing: NO

Bar Code	PALM Location	Location Date	Charge to Loc	Charge to Name	Employee Name	Location
<a href="#">09526499</a>	<a href="#">36M1</a>	07/20/2010	44P0	HAWTHORNE, ERIC	FATAHI-YAR,MEHDI	REM/00/A 41

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US6357893 B1

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**Lighting devices using a plurality of light sources**

**AB**  
(US6357893)  
A device is disclosed that uses a plurality of light sources. The light sources may be light emitting diodes (LEDs). The light sources are arranged and mounted to a deformable flexible substrate. The light sources are arranged and mounted to the substrate as to emit their radiation perpendicular to the substrate. The substrate is flexed in a concave or convex manner by motor, magnetic field or other mechanical means. The light sources may emit their radiation perpendicular to the substrate, or they may diverge or converge their radiation away from the substrate. Perforations in the substrate provide cooling to the light sources by convection or forced air. A threaded holder may be screwed onto threads on a case in order to bend the flexible substrate to change the direction of light from the light sources mounted to the flexible substrate.

**IN**  
BELLIVEAU RICHARD S

**PA**  
HIGH END SYSTEMS  
WACHOVIA BANK

**Published As**

Publ. number	Pub. date	Appl. number	Appl. date	Publ. Stage
US6357893	20020319	2000US-0526499	20000315	B1 - G

**PR**  
2000US-0526499 20000315

**PCL**  
257E25028 362184000 362188000 362285000 362800000

**IC**  
F21L-004/00  
F21L-004/02  
F21S-008/00  
F21V-014/00  
F21V-014/02  
F21V-019/02  
F21V-021/14  
F21V-021/30  
F21V-029/00  
F21V-029/02  
F21V-033/00  
H01L-025/10

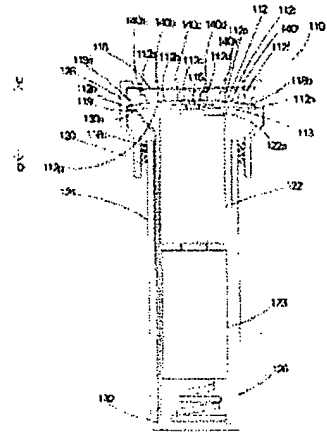
Record 1 of 1

Displaying records 1 - 1 of 1

Date	Code	Action
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**Alive: US6357893 B1**

20000315	US/API [EXM;POS]	FILING DETAILS US52649900 20000315 [2000US-0526499]
20020319	US/B1 [PIF;POS]	Granted patent as first publication US6357893 B1 20020319 [US6357893]
20040622	US/RF-A [OPP]	REISSUE APPLICATION FILED EFFECTIVE DATE: 20040315 20051005 US/REMI-A MAINTENANCE FEE REMINDER MAILED
20051025	US/FPAY-A [POS]	FEE PAYMENT PAYMENT YEAR: 4
20051026	US/SULP-A [POS]	SURCHARGE FOR LATE PAYMENT
20071016	US/AS-A [NMC]	ASSIGNMENT OWNER: HIGH END SYSTEMS, INC., TEXAS; EFFECTIVE DATE: 20071011 RELEASE BY SECURED PARTY;ASSIGNOR:MARQUETTE BUSINESS CREDIT, INC.;REEL/FRAME:019965/0065
20071023	US/AS-A [NMC]	ASSIGNMENT OWNER: WACHOVIA BANK, NATIONAL ASSOCIATION, TEXAS; EFFECTIVE DATE: 20070926 SECURITY AGREEMENT;ASSIGNOR:HIGH END SYSTEMS, INC.;REEL/FRAME:019995/0252
20090325	US/FPAY-A [POS]	FEE PAYMENT PAYMENT YEAR: 8





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526499 (09) 6357893 March 19, 2002

## UNITED STATES PATENT AND TRADEMARK OFFICE GRANTED PATENT

**6357893**[Get Drawing Sheet 1 of 18](#)[Access PDF of Official Patent \\*](#)[Order Patent File History / Wrapper from REEDFAX®](#)[Link to Claims Section](#)

March 19, 2002

Lighting devices using a plurality of light sources

**REISSUE:**

March 15, 2004 - Reissue Application filed Ex. Gp.: 2875; Re. S.N. 10/801,177 , (O.G. June 22, 2004)

**INVENTOR:** Belliveau, Richard S. - 10643 Floral Park, Austin, TEXAS, 78759**APPL-NO:** 526499 (09)**FILED-DATE:** March 15, 2000**GRANTED-DATE:** March 19, 2002**PRIORITY:** March 15, 2000 - 09526499, United States of America (US)**ASSIGNEE-AT-ISSUE:**

BELLIVEAU RICHARD S.

**ASSIGNEE-AFTER-ISSUE:**

October 16, 2007 - RELEASE BY SECURED PARTY (SEE DOCUMENT FOR DETAILS)., HIGH END SYSTEMS, INC., 2105 GRACY FARMS LANE, AUSTIN, TEXAS, UNITED STATES OF AMERICA (US), 78758, Reel and Frame Number: 019965/0065

October 23, 2007 - SECURITY AGREEMENT, WACHOVIA BANK, NATIONAL ASSOCIATION, N/A, AUSTIN, TEXAS, UNITED STATES OF AMERICA (US), 78701, Reel and Frame Number: 019995/0252

**LEGAL-REP:** Tencza, Jr., Walter J.**PUB-TYPE:** March 19, 2002 - Patent without a pre-grant publication (B1)**PUB-COUNTRY:** United States of America (US)**LEGAL-STATUS:**

June 22, 2004 - REISSUE APPLICATION FILED

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- ☐ 1. Ex parte RICHARD S. BELLIVEAU, Appeal 2010-007121 Application 10/801,177 Patent 6,357,893 B1 Technology Center 2800, 2010 Pat. App. LEXIS 978, August 30, 2010, Decided

**CORE TERMS:** examiner, reissue, species, plurality, emitting, diodes, patent, canceled, non-elected, elected ...

... reissue application 10/801,177. This reissue application seeks to reissue U.S. Patent **6,357,893** B1 ("the '893 patent"), issued March 19, 2002, based on Application 09/ ...

- ☐ 2. Ex parte RICHARD S. BELLIVEAU, Appeal 2010-007121 Application 10/801,177 Patent 6,357,893 B1 Technology Center 2800, Board of Patent Appeals and Interferences, 2010 Pat. App. LEXIS 17175, August 30, 2010, Decided

**CORE TERMS:** examiner, reissue, species, plurality, emitting, diodes, patent, canceled, non-elected, elected ...

... reissue application 10/801,177. This reissue application seeks to reissue U.S. Patent **6,357,893** B1 ("the '893 patent"), issued March 19, 2002, based on Application 09/ ...

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2010 Pat. App. LEXIS 978, \*

Ex parte RICHARD S. BELLIVEAU

Appeal 2010-007121

Application 10/801,177

Patent **6,357,893** B1

Technology Center 2800

2010 Pat. App. LEXIS 978

August 30, 2010, Decided

**CORE TERMS:** examiner, reissue, species, plurality, emitting, diodes, patent, canceled, non-elected, elected, election, subject matter, invention, substantially identical, correctable, original application, correspond, color, declaration, divisional, acquiesced, intensity, connected, substrate, emitted, remedial, substantially different, apparatus, delivery, recited

**[\*1]**

Before: Allen R. MacDonald, Vice Chief Administrative Patent Judge, Linda E. Horner and Marc S. Hoff, Administrative Patent Judges.

**OPINIONBY:** HORNER

**OPINION:**

HORNER, *Administrative Patent Judge*.

DECISION ON APPEAL n1

----- Footnotes -----

n1 The two-month time period for filing an appeal or commencing a civil action, as recited in 37 C.F.R. § 1.304, or for filing a request for rehearing, as recited in 37 C.F.R. § 41.52, begins to run from the "MAIL DATE" (paper delivery mode) or the "NOTIFICATION DATE" (electronic delivery mode) shown on the PTOL-90A cover letter attached to this decision.

----- End Footnotes -----

## STATEMENT OF THE CASE

Richard S. Belliveau (Appellant) seeks our review under 35 U.S.C. § 134 of the Examiner's decision in reissue application 10/801,177. This reissue application seeks to reissue U.S. Patent **6,357,893** B1 ("the '893 patent"), issued March 19, 2002, based on Application 09/526,499 ("the '499 application"), filed March 15, 2000.

The Examiner rejected claims 1-82, which are all of the pending claims. We have jurisdiction **[\*2]** under 35 U.S.C. § 6(b). We REVERSE.

## THE INVENTION

Appellant's invention is an apparatus for using a plurality of light sources to illuminate an area or aperture. The '893 patent, col. 1, ll. 5-7. The '893 patent issued with claims 1-12, which correspond to claims 1-12 currently pending in this reissue application on appeal. The '893 patent, col. 19, l. 61 - col. 20, l. 26. The remaining claims 13-82 were added by reissue. Claim 13, reproduced below, is representative of the subject matter of the newly-added reissue claims.

13. A lighting apparatus comprising:

a substrate;

a plurality of light emitting diodes;

a lamp driver circuit;

a communications component;

a first housing in which the substrate is located;

wherein the substrate has a first circuit and a second circuit;

wherein the lamp driver circuit is electrically connected to the first circuit and the second circuit;

wherein a first portion of the plurality of light emitting diodes are connected to the first circuit and the first circuit can vary the intensity of the light emitted by the first portion of the plurality of light emitting diodes;

wherein a second portion of the plurality of light **[\*3]** emitting diodes are connected to the second circuit and the second circuit can vary the intensity of the light emitted by the second portion of the plurality of light emitting diodes;

wherein the first portion of the plurality of light emitting diodes emits light of a first color and the second portion of the plurality of light emitting diodes emits light of a second color different from the first color;

wherein the second color is generated by white light emitting diodes; and

wherein the communications component can receive a control command for varying either the intensity of the first portion of the plurality of light emitting diodes or the second portion of the plurality of light emitting diodes to change the color temperature of the light emitted from the plurality of light emitting diodes.

## THE REJECTION

Appellant seeks review of the Examiner's rejection of claims 1-82 as based on a defective reissue oath or

declaration for lack of error correctable under 35 U.S.C. § 251.

## ISSUE

The Examiner determined that claims 13-82 of the reissue application are drawn to non-elected species of the original application. n2 Ans. 6-7. The Examiner states [\*4] that by failing to file a divisional application during the pendency of the original application, Appellant surrendered the right during reissue of the patent directed to the elected species to claim subject matter other than the elected (and issued) invention. Ans. 8. Based on this reasoning, the Examiner concluded that Appellant failed to state an "error" correctable by reissue under 35 U.S.C. § 251. *Id.*

----- Footnotes -----

n2 The Examiner rejected claims 1-82, but finds that only claims 13-82 are directed to non-elected species. Ans. 6. Claims 1-12 are directed to the elected species because they correspond to claims 1-12 of the '893 patent. Presumably the Examiner rejected reissue claims 1-12, because in the event that the rejection of claims 13-82 is upheld, then there would be no error being corrected in the remaining claims 1-12. Because we are reversing the rejection of claims 13-82, we likewise reverse the rejection of claims 1-12 under § 251.

----- End Footnotes -----

Appellant argues the Examiner's rejection [\*5] is in error because independent reissue claims 13, 33, 35, 50, 73, and 79 are substantially different from the non-elected claims that were restricted in the original application. App. Br. 13-25, 27-28, 30, 36-38.

The issue before us is whether reissue claims 13-82 are based on a defective reissue oath or declaration for lack of error correctable under 35 U.S.C. § 251.

## FINDINGS OF FACT

We find that the following enumerated facts are supported by at least a preponderance of the evidence.

1. The Examiner determined that the '499 application contained claims directed to four patentably distinct species of the claimed invention, and imposed a four-way election of species requirement with the following groups:

- I. Directed to Figures 2A, 2B, 3A-C, and 3F;
- II. Directed to Figure 3D;
- III. Directed to Figure 3E; and
- IV. Directed to Figures 9A and 9B with subspecies in Figures 4A-C, 5A-C, 6A-C, 7A-C, 8A-C, and 12A-C.

Office Action dated April 30, 2001, page 2. The Examiner did not identify in the Office Action which claims were associated with each group. Other than identifying the associated figures, the election of species requirement did [\*6] not describe the subject matter of each group or explain in what aspects the grouped figures represented distinct species. Office Action dated April 30, 2001, *passim*.

2. Appellant elected group 1, without traverse, but did not identify which of the originally-filed claims corresponded with the figures of the elected group. Response to Election/ Restriction dated May 21, 2001, pages 1-2.

3. On November 15, 2001, the Examiner identified original claims 1-9, 25, 26, and 50 as

corresponding to the elected species (group I), and canceled claims 10-24 and 27-49 as being drawn to a non-elected invention (groups II-IV). Notice of Allowability dated November 15, 2001.

## PRINCIPLES OF LAW

Under 35 U.S.C. § 251, reissue is permissible "[w]henver any patent is, through error without any deceptive intention, deemed wholly or partly inoperative or invalid, by reason of a defective specification or drawing, or by reason of the patentee claiming more or less than he had a right to claim in the patent." Section 251 "is remedial in nature, based on fundamental principles of equity and fairness, and should be construed liberally." *In re Weiler*, 790 F.2d 1576, 1579 (Fed. Cir. 1986) [\*7] (citations omitted).

When applicants cancel claims to the non-elected invention in response to the examiner's restriction requirement, and then fail to file a divisional application embodying the canceled claims, the applicants are deemed to have acquiesced to the restriction and are estopped from obtaining by reissue the subject matter of the canceled claims. See *In re Orita*, 550 F.2d 1277, 1280-81 (CCPA 1977) (there is no correctable error in failing to prosecute a divisional application to reissue claims substantially identical to the non-elected claims identified by the examiner in the restriction requirement).

Thus, 35 U.S.C. § 251 prohibits reissue claims that are identical or substantially identical to the non-elected claims.

## ANALYSIS

Here, the Examiner made no finding that reissue claims 13-82 of the '177 application are identical or substantially identical to canceled claims 10-24 and 27-49 of the '499 application. Ans. *passim*. Appellant asserts that independent reissue claims 13, 33, 35, 50, 73, 78, and 79 are substantially different from the canceled claims in the original application. n3 App. Br. 13-25, [\*8] 27-28, 30, 36-37. The Examiner's Response to Argument does not contest this assertion. Ans. 5-10; Reply Br. 2 (noting the failure of the Examiner to address Appellant's assertion).

----- Footnotes -----

n3 Claim 78 is likewise not identical or substantially identical to canceled claims 10-24 and 27-49 of the '499 application.

----- End Footnotes -----

In addition to the lack of a finding that reissue claims are identical or substantially identical to the canceled claims, the record is unclear as to what Appellant acquiesced in the election of species. The Examiner based the election of species upon figures of Appellant's application, without identifying which claims are associated with each group or describing the subject matter of each group (Fact 1). Appellant did not identify the claims associated with the elected species in the response to the election of species requirement (Fact 2). In fact, the Examiner canceled certain claims by Examiner's amendment, without any discussion in the record of why certain claims were deemed to correspond to the elected species [\*9] and others were deemed not to correspond (Fact 3). The Examiner's *ex post facto* explanation of the basis for the restriction presented in the Examiner's Answer is not probative of what Appellant acquiesced to in the election of species during prosecution of the '893 patent.

Given these facts, we are unable to determine the scope of the subject matter that Appellant may have disavowed during prosecution of the '893 patent, and thus we have no basis in the record on which to determine whether the newly-presented claims 13-82, which are different from the canceled claims, are directed to the non-elected species. Given the remedial nature of 35 U.S.C. § 251, we cannot sustain this rejection.

## CONCLUSION

Reissue claims 1-82 have not been shown to be based on a reissue oath or declaration that is defective for

lack of error correctable under 35 U.S.C. § 251.


DECISION


We REVERSE the Examiner's decision to reject claims 1-82.


REVERSED


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For related research and practice materials, see the following legal topics:

Patent Law > Claims & Specifications > Claim Language > General Overview 

Patent Law > U.S. Patent & Trademark Office Proceedings > Examinations > General Overview 

Patent Law > U.S. Patent & Trademark Office Proceedings > Filing Requirements > Drawings 

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2010 Pat. App. LEXIS 17175, \*

Ex parte RICHARD S. BELLIVEAU

Appeal 2010-007121

Application 10/801,177

Patent **6,357,893** B1

Technology Center 2800

Board of Patent Appeals and Interferences

2010 Pat. App. LEXIS 17175

August 30, 2010, Decided

**CORE TERMS:** examiner, reissue, species, plurality, emitting, diodes, patent, canceled, non-elected, elected, election, subject matter, invention, substantially identical, correctable, original application, correspond, color, declaration, divisional, acquiesced, intensity, connected, substrate, emitted, remedial, substantially different, apparatus, delivery, recited

[\*1]

Before: Allen R. MacDonald, Vice Chief Administrative Patent Judge, Linda E. Horner and Marc S. Hoff, Administrative Patent Judges.

**OPINIONBY:** HORNER

**OPINION:**

HORNER, *Administrative Patent Judge.*

DECISION ON APPEAL n1

----- Footnotes -----

n1 The two-month time period for filing an appeal or commencing a civil action, as recited in 37 C.F.R. § 1.304, or for filing a request for rehearing, as recited in 37 C.F.R. § 41.52, begins to run from the "MAIL DATE" (paper delivery mode) or the "NOTIFICATION DATE" (electronic delivery mode) shown on the PTOL-90A cover letter attached to this decision.

----- End Footnotes-----

#### STATEMENT OF THE CASE

Richard S. Belliveau (Appellant) seeks our review under 35 U.S.C. § 134 of the Examiner's decision in reissue application 10/801,177. This reissue application seeks to reissue U.S. Patent **6,357,893** B1 ("the '893 patent"), issued March 19, 2002, based on Application 09/526,499 ("the '499 application"), filed March 15, 2000.

The Examiner rejected claims 1-82, which are all of the pending claims. We have jurisdiction [\*2] under 35 U.S.C. § 6(b). We REVERSE.

#### THE INVENTION

Appellant's invention is an apparatus for using a plurality of light sources to illuminate an area or aperture. The '893 patent, col. 1, ll. 5-7. The '893 patent issued with claims 1-12, which correspond to claims 1-12 currently pending in this reissue application on appeal. The '893 patent, col. 19, l. 61 - col. 20, l. 26. The remaining claims 13-82 were added by reissue. Claim 13, reproduced below, is representative of the subject matter of the newly-added reissue claims.

##### 13. A lighting apparatus comprising:

- a substrate;

- a plurality of light emitting diodes;

- a lamp driver circuit;

- a communications component;

- a first housing in which the substrate is located;

- wherein the substrate has a first circuit and a second circuit;

- wherein the lamp driver circuit is electrically connected to the first circuit and the second circuit;

- wherein a first portion of the plurality of light emitting diodes are connected to the first circuit and the first circuit can vary the intensity of the light emitted by the first portion of the plurality of light emitting diodes;

- wherein a second portion of the plurality of light [\*3] emitting diodes are connected to the second circuit and the second circuit can vary the intensity of the light emitted by the second portion of the plurality of light emitting diodes;

- wherein the first portion of the plurality of light emitting diodes emits light of a first color and the second portion of the plurality of light emitting diodes emits light of a second color different from the first color;

- wherein the second color is generated by white light emitting diodes; and

- wherein the communications component can receive a control command for varying either the intensity of the first portion of the plurality of light emitting diodes or the second portion of the plurality of light emitting diodes to change the color temperature of the light emitted from the plurality of light emitting diodes.

#### THE REJECTION

Appellant seeks review of the Examiner's rejection of claims 1-82 as based on a defective reissue oath or declaration for lack of error correctable under 35 U.S.C. § 251.

#### ISSUE

The Examiner determined that claims 13-82 of the reissue application are drawn to non-elected species of the original application. n2 Ans. 6-7. The Examiner states **[\*4]** that by failing to file a divisional application during the pendency of the original application, Appellant surrendered the right during reissue of the patent directed to the elected species to claim subject matter other than the elected (and issued) invention. Ans. 8. Based on this reasoning, the Examiner concluded that Appellant failed to state an "error" correctable by reissue under 35 U.S.C. § 251. *Id.*

----- Footnotes -----

n2 The Examiner rejected claims 1-82, but finds that only claims 13-82 are directed to non-elected species. Ans. 6. Claims 1-12 are directed to the elected species because they correspond to claims 1-12 of the '893 patent. Presumably the Examiner rejected reissue claims 1-12, because in the event that the rejection of claims 13-82 is upheld, then there would be no error being corrected in the remaining claims 1-12. Because we are reversing the rejection of claims 13-82, we likewise reverse the rejection of claims 1-12 under § 251.

----- End Footnotes -----

Appellant argues the Examiner's rejection is **[\*5]** in error because independent reissue claims 13, 33, 35, 50, 73, and 79 are substantially different from the non-elected claims that were restricted in the original application. App. Br. 13-25, 27-28, 30, 36-38.

The issue before us is whether reissue claims 13-82 are based on a defective reissue oath or declaration for lack of error correctable under 35 U.S.C. § 251.

#### FINDINGS OF FACT

We find that the following enumerated facts are supported by at least a preponderance of the evidence.

1. The Examiner determined that the '499 application contained claims directed to four patentably distinct species of the claimed invention, and imposed a four-way election of species requirement with the following groups:

I. Directed to Figures 2A, 2B, 3A-C, and 3F;

II. Directed to Figure 3D;

III. Directed to Figure 3E; and

IV. Directed to Figures 9A and 9B with subspecies in Figures 4A-C, 5A-C, 6A-C, 7A-C, 8A-C, and 12A-C.

Office Action dated April 30, 2001, page 2. The Examiner did not identify in the Office Action which claims were associated with each group. Other than identifying the associated figures, the election of species requirement did not describe **[\*6]** the subject matter of each group or explain in what aspects the grouped figures represented distinct species. Office Action dated April 30, 2001, *passim*.

2. Appellant elected group 1, without traverse, but did not identify which of the originally-filed claims corresponded with the figures of the elected group. Response to Election/ Restriction dated May 21, 2001, pages 1-2.

3. On November 15, 2001, the Examiner identified original claims 1-9, 25, 26, and 50 as corresponding to the elected species (group I), and canceled claims 10-24 and 27-49 as being drawn to a non-elected invention (groups II-IV). Notice of Allowability dated November 15, 2001.

## PRINCIPLES OF LAW

Under 35 U.S.C. § 251, reissue is permissible "[w]henver any patent is, through error without any deceptive intention, deemed wholly or partly inoperative or invalid, by reason of a defective specification or drawing, or by reason of the patentee claiming more or less than he had a right to claim in the patent." Section 251 "is remedial in nature, based on fundamental principles of equity and fairness, and should be construed liberally." *In re Weiler*, 790 F.2d 1576, 1579 (Fed. Cir. 1986) [\*7] (citations omitted).

When applicants cancel claims to the non-elected invention in response to the examiner's restriction requirement, and then fail to file a divisional application embodying the canceled claims, the applicants are deemed to have acquiesced to the restriction and are estopped from obtaining by reissue the subject matter of the canceled claims. See *In re Orita*, 550 F.2d 1277, 1280-81 (CCPA 1977) (there is no correctable error in failing to prosecute a divisional application to reissue claims substantially identical to the non-elected claims identified by the examiner in the restriction requirement).

Thus, 35 U.S.C. § 251 prohibits reissue claims that are identical or substantially identical to the non-elected claims.

## ANALYSIS

Here, the Examiner made no finding that reissue claims 13-82 of the '177 application are identical or substantially identical to canceled claims 10-24 and 27-49 of the '499 application. Ans. *passim*. Appellant asserts that independent reissue claims 13, 33, 35, 50, 73, 78, and 79 are substantially different from the canceled claims in the original application. n3 App. Br. 13-25, [\*8] 27-28, 30, 36-37. The Examiner's Response to Argument does not contest this assertion. Ans. 5-10; Reply Br. 2 (noting the failure of the Examiner to address Appellant's assertion).

----- Footnotes -----

n3 Claim 78 is likewise not identical or substantially identical to canceled claims 10-24 and 27-49 of the '499 application.

----- End Footnotes -----

In addition to the lack of a finding that reissue claims are identical or substantially identical to the canceled claims, the record is unclear as to what Appellant acquiesced in the election of species. The Examiner based the election of species upon figures of Appellant's application, without identifying which claims are associated with each group or describing the subject matter of each group (Fact 1). Appellant did not identify the claims associated with the elected species in the response to the election of species requirement (Fact 2). In fact, the Examiner canceled certain claims by Examiner's amendment, without any discussion in the record of why certain claims were deemed to correspond to the elected species [\*9] and others were deemed not to correspond (Fact 3). The Examiner's *ex post facto* explanation of the basis for the restriction presented in the Examiner's Answer is not probative of what Appellant acquiesced to in the election of species during prosecution of the '893 patent.

Given these facts, we are unable to determine the scope of the subject matter that Appellant may have disavowed during prosecution of the '893 patent, and thus we have no basis in the record on which to determine whether the newly-presented claims 13-82, which are different from the canceled claims, are directed to the non-elected species. Given the remedial nature of 35 U.S.C. § 251, we cannot sustain this rejection.

## CONCLUSION

Reissue claims 1-82 have not been shown to be based on a reissue oath or declaration that is defective for lack of error correctable under 35 U.S.C. § 251.


**DECISION**


We REVERSE the Examiner's decision to reject claims 1-82.

**REVERSED**


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